

# 2



FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.  
VI

SERIAL NO.

09/933,986

APPLICANTS: MARK S.F. CLARKE and  
DANIEL L. FEEBACK

FILING DATE

08-21-2001

GROUP

1754

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	INT'L CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
AA	6187823	07/13/01	HADDON ET AL.	B01F	3/16	09/29/99
AB						
AC						
AD						
AE						
AF						
AG						
AH						
AI						
AJ						
AK						

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OCT 30 2001

TC 1700

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
AL						
AM						
AN						
AO						
AP						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

PL	AR	Kevin D. Ausman et al. Organic Solvent Dispersions of Single-Walled Carbon Nanotubes: Toward Solutions of
	AS	Pristine Nanotubes. July 19, 2000 J. Phys. Chem. American Chemical Society
	AT	

EXAMINER

DATE CONSIDERED

7/29/03

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

#3

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

ATTY DOCKET NO. USRA-SWCNT-VI

SERIAL NO. : 09/932,986

APPLICANT : Mark S.F. Clarke, et al.

FILING DATE : 08/21/2001

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

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JUN 18 2002  
TC 1700

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO/ OR ABSTRACT

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

PL		A.C. Rinzler, et al.; "Large-scale purification of single-wall carbon nanotubes: process, product, and characterization" Applied Physics A 67, 117 (1998) pgs. 29-37.
PL		G.S. Duesberg, et al; "Rapid Communication; Chromatographic size separation of single-wall carbon nanotubes"; Applied Physics A; (1998) pgs. 117-119.
PL		Jie Liu, et al.; "Fullerene Pipes"; SCIENCE VOL. 280; (May 22 1998); pgs. 1253 - 1256.
PL		Konstantin B. Shelimov, et al.; "Purification of single -wall carbon nanotubes by ultrasonically assisted filtration"; Chemical Physics Letters 282; (1998) pgs. 429 - 434.
EXAMINER	DATE CONSIDERED 7/29/03	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.s

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#5

PTO/SB/08A (08-00)

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)				<i>Complete if Known</i>	
				Application Number	09/932,986
Sheet		1	of	2	Filing Date 08/21/2001 First Named Inventor Mark S.F. Clarke Group Art Unit 1754 Examiner Name LISH, Peter J. Attorney Docket Number USRA-SWCNT VI

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GROUP 1700

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		
PL		5,560,898		Uchida et al.	Oct. 1, 1996
PL		5,904,852		Tour et al.	May 18, 1999
PL		6,350,488	B1	Lee et al.	Feb. 26, 2002
PL		2002/0081380	A1	Dillon et al.	Jun. 27, 2002
PL		2002/0092613	A1	Kuper	Jul. 18, 2002
PL		2002/0102193	A1	Smalley et al.	Aug. 1, 2002
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PL		2002/0127171	A1	Smalley et al.	Sep. 12, 2002
PL		2002/0159944	A1	Smalley et al.	Oct. 31, 2002
PL		2002/0172767	A1	Grigorian et al.	Nov. 21, 2002
PL		2003/0004058	A1	Li et al.	Jan. 2, 2003
PL		2003/0031620	A1	Harutyunyan et al.	Feb. 13, 2003

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
PL		JP	08198611	A	NEC CORP	08/06/1996	Abstract
PL		JP	06228824	A	NEC CORP	08/16/1994	Abstract
PL		JP	08231210	A	NEC CORP	09/10/1996	Abstract
PL		JP	08290908	A	TOYO TANSO KK TAJI KAZUYUKI	11/05/1996	Abstract
PL		JP	08325007	A	OSAKA PREFECTURE DAIICHI NENRYO KOGYO KK	12/10/1996	Abstract
PL		JP	09188509	A	NEC CORP	07/22/1997	Abstract
PL		JP	10120409	A	TOYO TANSO KK TAJI KAZUYUKI	05/12/1998	Abstract
PL		EP	0 949 199	A1	DAVEY, ANDREW, ET AL.	10/13/1999	
PL		EP	1 067 040	A1	LEE, CHEOL-JIN, ET AL.	12/20/2000	
PL		EP	1 092 680	A1	LEE, CHEOL-JIN, ET AL.	04/18/2001	

Examiner Signature		Date Considered	7/29/03
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<sup>1</sup> Unique citation designation number.


<sup>2</sup> See attached Kinds of U.S. Patent Documents.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.

<sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.



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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**Complete if Known**

<b>Application Number</b>	09/932,986
<b>Filing Date</b>	08/21/2001
<b>First Named Inventor</b>	Mark S.F. Clarke
<b>Group Art Unit</b>	1754
<b>Examiner Name</b>	LISH, Peter J.

Attorney Docket Number	USRA-SWCNT VI
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## FOREIGN PATENT DOCUMENTS

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<sup>1</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>2</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

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